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Date	June 29, 2005	Client-Number	74622-020	Fax Transmittal
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From	John C. Stellabotte			
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To:	Examiner: Jagdish Patel			Fax No.: 703-872-9306
Company:	United States Patent and Trademark Office – Group Art Unit 3624			Voice No.: (571)272-6748

Message

Re: Inventor : Lawrence P. Shields, et al.
 Serial No. : 10/003,613
 Filing Date : November 2, 2001
 Title : SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK PLANS
 Att'y Docket : 74622-0020

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

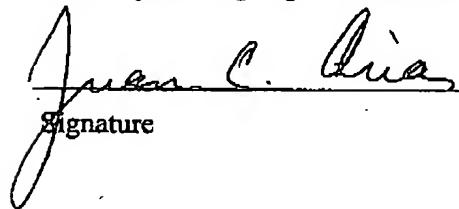
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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June 29, 2005

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PTO/SB/81 (08-04)

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and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/663,613
Filing Date	November 2, 2001
First Named Inventor	Lawrence P. Shroff
Title	SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK PLANS
Art Unit	3624
Examiner Name	JAGDISH PATEL
Attorney Docket Number	74622-020

I hereby appoint:

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I am the:

Applicant/Inventor.
 Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(D) is enclosed. (Form PTO/SB/98)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	6/22/05
Name	Gregg L. Goldman	Telephone	203.719.3098
Title and Company	Director and Senior Counsel, UBS Financial Services, Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

"Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/08 (08-04)

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STATEMENT UNDER 37 CFR 3.73(b)

Lawrence P. Shields, et al.

Applicant/Patent Owner:

Application No./Patent No.: 10/003,613 Filed/Issue Date: November 2, 2001Entitled: **SYSTEM AND METHOD FOR IMPLEMENTING EMPLOYEE STOCK PLANS**

UBS Financial Services, Inc.

Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below.

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Copies of assignments or other documents in the chain of title are attached.
(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6/22/05

Date

203 719 3098

Telephone Number

Signature

Gregg L. Goldman

Printed or Typed Name

Director and Senior Counsel, UBS Financial Services, Inc.

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to be given (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form under suggestion for reducing this burden, should be sent in the Chief Information Officer, comments on the amount of time you require to complete this form under suggestion for reducing this burden, should be sent in the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 9450, Alexandria, VA 22313-9450.

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